

ATTORNEY DOCKET NO.  
057470.0137 (P0766)

PATENT APPLICATION #2  
Serial No. 09/839,515



1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Fred C. Thomas III  
Serial No.: 09/839,515  
Filed: April 20, 2001  
Group No.: Unknown  
Examiner: Unknown  
Title: METHOD AND APPARATUS FOR  
SECURE TRANSMISSION OF  
IDENTIFIER FOR REMOVABLE  
STORAGE MEDIA

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Technology Center 2100

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence, with enclosures, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date shown below.

Sir:

Name

Date:

*Judy Baggett*  
*7/10/2001*

INFORMATION DISCLOSURE STATEMENT

Pursuant to the provisions of 37 CFR §§ 1.56, 1.97 and 1.98, Applicant is submitting information which may be material to examination of the present application.

More specifically, Applicant is enclosing copies of the text and drawings of sixteen copending U.S. applications, each of which is listed on enclosed Form BB-1950. As permitted by MPEP §609(D), Applicant is using a sheet (Form BB-1950) which is different from Form PTO-1449, so that the copending applications will not be listed on Form PTO-1449, and thus will not be listed on the face of the patent which issues from the present application. The Examiner is respectfully requested to initial each entry on Form BB-1950 at the indicated location, and to then return a copy of this initialed form with the next PTO communication. In this regard, the Examiner is respectfully requested to specifically write "Form BB-1950" directly on the next communication at the location where that communication refers to Form PTO-1449, so that the PTO staff will return initialed copies of both forms.

Applicant is also enclosing copies of a number of additional documents, each of which is listed on enclosed Form PTO-1449. Of these, four are not in the English language, namely German Reference No. 43 04 506, French Reference No. 2 691 435, Japanese Reference No. 62-259284, and Japanese Reference No. 1-189091. However, each of these four non-English documents has an English abstract attached to it. The Examiner is respectfully requested to initial each entry on Form PTO-1449 at the indicated location, and to then return a copy of this initialed form with the next PTO communication.

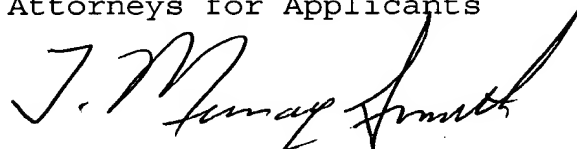
ATTORNEY DOCKET NO.  
067470.0137 (P0766)

PATENT APPLICATION  
Serial No. 09/839,515

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Favorable consideration of this application is respectfully requested.

Respectfully submitted,  
BAKER BOTTS L.L.P.  
Attorneys for Applicants



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(214) 953-6684

Date: July 10, 2001

Encls: Form BB-1950, and one copy of  
each listed application  
Form PTO-1449, and one copy of  
each listed patent  
Post Card

Serial No.: 09/839,515

Applicant: Fred C. Thomas III

Docket No.: 067470.0137 (P0766)



Filed: April 20, 2001

Group: Unknown

Page: 1 of 1

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**INFORMATION DISCLOSURE CITATION -**  
**RELATED U.S. APPLICATIONS**  
(Do NOT Print on Patent)

| Examiner's<br>Initials   | U.S. Patent Applications  |
|--|---|
|  | Thomas A. Wilke, U.S. Serial No. 09/590,508 filed June 9, 2000 (Attorney Docket Nos. 067470.0104, P0622).   |
|  | Thomas A. Wilke, U.S. Serial No. 09/591,081 filed June 9, 2000 (Attorney Docket Nos. 067470.0105, P0623).   |
|  | Thomas A. Wilke, Allen T. Bracken, Serial No. 09/591,354 filed June 9, 2000 (Attorney Docket Nos. 067470.0106, P0624).  |
|  | Thomas A. Wilke, Allen T. Bracken, Brent J. Watson, Fred C. Thomas III, U.S. Serial No. 09/591,074 filed June 9, 2000 (Attorney Docket Nos. 067470.0107, P0625).  |
|  | Thomas A. Wilke, Marvin R. DeForest, Dennis D. Ogden, Serial No. 09/591,540 filed June 9, 2000 (Attorney Docket Nos. 067470.0108, P0626).   |
|  | Allen T. Bracken, Mark L. Reimann, Theodore J. Smith, U.S. Serial No. 09/591,538 filed June 9, 2000 (Attorney Docket Nos. 067470.0113, P0627).  |
|  | Jeffery D. Penman, Todd R. Shelton, U.S. Serial No. 09/590,509 filed June 9, 2000 (Attorney Docket Nos. 067470.0114, P0628).  |
|  | Randall C. Bauck, U.S. Serial No. 09/590,498, filed June 9, 2000 (Attorney Docket Nos. 067470.0115, P0629).   |
|  | Randall C. Bauck, Allen T. Bracken, Thomas A. Wilke, David S. Greenhalgh, U.S. Serial No. 09/590,511 filed June 9, 2000 (Attorney Docket Nos. 067470.0116, P0630).  |
|  | Daniel D. Rochat, Mark L. Reimann, Allen T. Bracken, U.S. Serial No. 09/746,304 filed December 21, 2000 (Attorney Docket Nos. 067470.0121, P0659).  |
|  | Allen T. Bracken, Theodore J. Smith, Jeffery D. Penman, Todd R. Shelton, David S. Greenhalgh, Paul E. Jacobs, Spencer W. Stout, Paul C. Kunz, Scott P. Thomas, Douglas S. Reynolds, David L. Jolley, Ryan D. Osterhout, U.S. Serial No. 09/755,961 filed January 4, 2001 (Attorney Docket Nos. 067470.0125, P0751). |
|  | Paul C. Kunz, U.S. Serial No. 09/854,354, filed May 11, 2001 (Attorney Docket Nos. 067470.0128, P0718).   |
|  | Paul C. Kunz, Ryan D. Osterhout, Theodore J. Smith, Spencer W. Stout, Scott P. Thomas, U.S. Serial No. 09/854,391 filed May 11, 2001 (Attorney Docket Nos. 067470.0129, P0719).   |
|  | Ryan D. Osterhout, Scott P. Thomas, Paul C. Kunz, Allen T. Bracken, U.S. Serial No. 09/858,073, filed May 14, 2001 (Attorney Docket Nos. 067470.0139, P0777).   |
|  | Todd R. Shelton, Theodore J. Smith, Marvin R. DeForest, Kelly D. Wright, Mark L. Reimann, Hiromichi (nmi) Oribe, Jeffery D. Penman, U.S. Serial No. 09/855,993, filed May 14, 2001 (Attorney Docket Nos. 067470.0144, P0784).   |
|  | William P. Baker, Todd R. Shelton, Theodore J. Smith, U.S. Serial No. 09/866,568 filed May 25, 2001 (Attorney Docket Nos. 067470.0146, P0791).  |
|  |   |
|  |   |
| Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the Applicant. This form is used instead of Form PTO-1449, pursuant to MPEP §609(D). |   |

Form BB-1950

Rev. 06-2001

|          |  |                                      |                                    |
|----------|--|--------------------------------------|------------------------------------|
| PTO-1449 | <b>Information Disclosure Citation<br/>in an Application</b> | Application No.<br>09/839,515        | Applicant(s)<br>Fred C. Thomas III |
|          |  | Docket Number<br>067470.0137 (P0766) | Group Art Unit<br>Unknown          |
|          |  | Filing Date<br>04/20/2001            |                                    |

## U.S. PATENT DOCUMENTS

|  |   | DOCUMENT NO. | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE |
|--|---|--------------|----------|------------------|-------|----------|-------------|
|  | A | 2,278,280    | 3/31/42  | Pfeiffer, et al. |       |          |             |
|  | B | 2,896,833    | 7/28/59  | Markham          |       |          |             |
|  | C | 3,144,236    | 8/11/64  | Clanin           |       |          |             |
|  | D | 3,692,264    | 9/19/72  | Burkhard, et al. |       |          |             |
|  | E | 3,695,421    | 10/3/72  | Wood             |       |          |             |
|  | F | 4,061,228    | 12/6/77  | Johnson          |       |          |             |
|  | G | 4,062,049    | 12/6/77  | Dirks            |       |          |             |
|  | H | 4,359,762    | 11/16/82 | Stollorz         |       |          |             |
|  | I | 4,414,576    | 11/8/83  | Randmae          |       |          |             |
|  | J | 4,507,689    | 3/26/85  | Kozuki           |       |          |             |
|  | K | 4,550,343    | 10/29/85 | Nakatani         |       |          |             |
|  | L | 4,562,500    | 12/31/85 | Bygdnes          |       |          |             |
|  | M | 4,622,607    | 11/11/86 | Smith, II        |       |          |             |
|  | N | 4,639,863    | 1/27/87  | Harrison         |       |          |             |

## FOREIGN PATENT DOCUMENTS

|  |   | DOCUMENT NO. | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|---|--------------|----------|---------|-------|----------|-------------|----|
|  |   |              |          |         |       |          | YES         | NO |
|  | O | 0 204 299    | 12/10/86 | EPC     |       |          |             |    |
|  | P | 0 335 490    | 10/4/89  | EPC     |       |          |             |    |
|  | Q | 0 426 414    | 5/8/91   | EPC     |       |          |             |    |

## NON-PATENT DOCUMENTS

|  |   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  |
|--|---|--|
|  | R | "IBM Travelstar E - External Hard Disk Drive - Installation and Operation Guide", IBM Storage Systems Division, San Jose, California, 2000, 10 sheets. |
|  | S |  |
|  | T |  |

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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

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|          |                                      |                                     |                           |
|----------|--------------------------------------|-------------------------------------|---------------------------|
| PTO-1449 | Application No.<br>09/839,515        | Applicant(s)<br>Fred C. Thomas III. |                           |
|          | Docket Number<br>067470.0137 (P0766) | Group Art Unit<br>Unknown           | Filing Date<br>04/20/2001 |

**Information Disclosure Citation  
in an Application**

**U.S. PATENT DOCUMENTS**

|  |    | DOCUMENT NO. | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE |
|--|----|--------------|----------|------------------|-------|----------|-------------|
|  | U  | 4,688,206    | 8/18/87  | Nakagawa, et al. |       |          |             |
|  | V  | 4,709,817    | 12/1/87  | Keady            |       |          |             |
|  | W  | 4,712,146    | 12/8/87  | Moon             |       |          |             |
|  | X  | 4,724,500    | 2/09/88  | Dalziel          |       |          |             |
|  | Y  | 4,754,397    | 6/28/88  | Varaiya, et al.  |       |          |             |
|  | Z  | 4,763,225    | 8/9/88   | Frenkel, et al.  |       |          |             |
|  | AA | 4,769,764    | 9/6/88   | Levanon          |       |          |             |
|  | BB | 4,791,511    | 12/13/88 | Davis            |       |          |             |
|  | CC | 4,806,106    | 2/21/89  | Mebane           |       |          |             |
|  | DD | 4,833,554    | 5/23/89  | Dalziel, et al.  |       |          |             |
|  | EE | 4,853,807    | 8/1/89   | Trager           |       |          |             |
|  | FF | 4,856,656    | 8/15/89  | Sugimoto, et al  |       |          |             |
|  | GG | 4,869,369    | 9/26/89  | Turngren         |       |          |             |
|  | HH | 4,884,261    | 11/28/89 | Dalziel          |       |          |             |
|  | II | 4,893,210    | 1/9/90   | Mintzlaff        |       |          |             |

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**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT NO. | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|--------------|----------|---------|-------|----------|-------------|----|
|  |    |              |          |         |       |          | YES         | NO |
|  | JJ | 62-259284    | 11/11/87 | Japan   |       |          | Abstract    |    |
|  | KK | 1-189091     | 7/28/89  | Japan   |       |          | Abstract    |    |
|  | LL | 2 228 819    | 9/5/90   | UK      |       |          |             |    |

**NON-PATENT DOCUMENTS**

**DOCUMENT (Including Author, Title, Source, and Pertinent Pages)**

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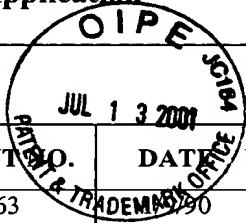
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|----------|--------------------------------------|------------------------------------|---------------------------|
| PTO-1449 | Application No.<br>09/839,515        | Applicant(s)<br>Fred C. Thomas III |                           |
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|  |     | DOCUMENT NO. | DATE     | NAME               | CLASS | SUBCLASS | FILING DATE |
|--|-----|--------------|----------|--------------------|-------|----------|-------------|
|  | PP  | 4,893,263    | 3/13/90  | Myers              |       |          |             |
|  | QQ  | 4,908,715    | 3/13/90  | Krum               |       |          |             |
|  | RR  | 4,926,291    | 5/15/90  | Sarraf             |       |          |             |
|  | SS  | 4,965,691    | 10/23/90 | Iftikar, et al.    |       |          |             |
|  | TT  | 4,974,103    | 11/27/90 | Iftikar, et al.    |       |          |             |
|  | UU  | 5,024,328    | 6/18/91  | Bontrager          |       |          |             |
|  | VV  | 5,025,335    | 6/18/91  | Stefansky          |       |          |             |
|  | WW  | 5,041,924    | 08/20/91 | Blackborow, et al. |       |          |             |
|  | XX  | 5,065,262    | 11/12/91 | Blackborow         |       |          |             |
|  | YY  | 5,084,791    | 1/28/92  | Thanos             |       |          |             |
|  | ZZ  | 5,160,473    | 11/3/92  | Bontrager          |       |          |             |
|  | AAA | 5,170,300    | 12/08/92 | Stefansky          |       |          |             |
|  | BBB | 5,175,657    | 12/29/92 | Iftikar, et al.    |       |          |             |
|  | CCC | 5,204,794    | 4/20/93  | Yoshida            |       |          |             |
|  | DDD | 5,207,327    | 5/4/93   | Brondos            |       |          |             |

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|  |     | DOCUMENT NO. | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
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|  |     |              |          |         |       |          | YES         | NO |
|  | EEE | 2 243 940    | 11/13/91 | UK      |       |          |             |    |
|  | FFF | 2 691 435    | 11/26/93 | France  |       |          | Abstract    |    |
|  | GGG | 0 210 497    | 2/4/87   | EPC     |       |          |             |    |

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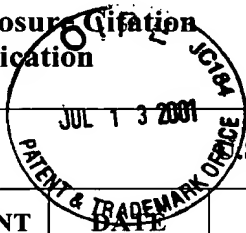
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| PTO-1449 | Application No.<br>09/839,515        | Applicant(s)<br>Fred C. Thomas III |                           |
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**U.S. PATENT DOCUMENTS**

|  |     | DOCUMENT NO. | DATE     | NAME               | CLASS | SUBCLASS | FILING DATE |
|--|-----|--------------|----------|--------------------|-------|----------|-------------|
|  | KKK | 5,214,550    | 5/25/93  | Chan               |       |          |             |
|  | LLL | 5,235,481    | 8/10/93  | Kamo, et al.       |       |          |             |
|  | MMM | 5,241,436    | 8/31/93  | Kawabata           |       |          |             |
|  | NNN | 5,253,129    | 10/12/93 | Blackborow, et al. |       |          |             |
|  | OOO | 5,258,888    | 11/02/93 | Korinsky           |       |          |             |
|  | PPP | 5,303,101    | 4/12/94  | Hatch, et al       |       |          |             |
|  | QQQ | 5,317,464    | 5/31/94  | Witt, et al.       |       |          |             |
|  | RRR | 5,359,504    | 10/25/94 | Ohmi, et al.       |       |          |             |
|  | SSS | 5,372,515    | 12/13/94 | Miller, et al.     |       |          |             |
|  | TTT | 5,392,197    | 2/21/95  | Cuntz, et al.      |       |          |             |
|  | UUU | 5,408,383    | 4/18/95  | Nagasaka, et al.   |       |          |             |
|  | VVV | 5,412,522    | 5/02/95  | Lockhart, et al.   |       |          |             |
|  | WWW | 5,426,562    | 6/20/95  | Morehouse, et al.  |       |          |             |
|  | XXX | 5,438,162    | 8/1/95   | Thompson, et al.   |       |          |             |
|  | YYY | 5,444,586    | 8/22/95  | Iftikar, et al.    |       |          |             |

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|  |      |              |         |         |       |          | YES         | NO |
|  | ZZZ  | 43 04 506    | 8/18/94 | Germany |       |          | Abstract    |    |
|  | AAAA | WO 93/24932  | 12/9/93 | PCT     |       |          |             |    |
|  | BBBB |              |         |         |       |          |             |    |

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**DOCUMENT (Including Author, Title, Source, and Pertinent Pages)**

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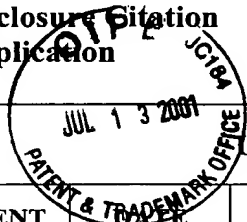
U.S. PATENT AND TRADEMARK OFFICE



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| PTO-1449 | Application No.<br>09/839,515        | Applicant(s)<br>Fred C. Thomas III |                           |
|          | Docket Number<br>067470.0137 (P0766) | Group Art Unit<br>Unknown          | Filing Date<br>04/20/2001 |

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**U.S. PATENT DOCUMENTS**

|  |      | DOCUMENT NO. | DATE    | NAME              | CLASS | SUBCLASS | FILING DATE |
|--|------|--------------|---------|-------------------|-------|----------|-------------|
|  | FFFF | 5,448,433    | 9/5/95  | Morehouse         |       |          |             |
|  | GGGG | 5,452,159    | 9/19/95 | Stefansky         |       |          |             |
|  | HHHH | 5,532,889    | 7/2/96  | Stefansky, et al. |       |          |             |
|  | IIII | 5,631,788    | 5/20/97 | Richards          |       |          |             |
|  | JJJJ | 5,663,855    | 9/02/97 | Kim, et al.       |       |          |             |
|  | KKKK | 5,724,216    | 3/3/98  | Iftikar, et al.   |       |          |             |
|  | LLLL | 5,754,357    | 5/19/98 | Anderson, et al.  |       |          |             |
|  | MMMM | 5,739,995    | 4/14/98 | Ohmi, et al.      |       |          |             |
|  | NNNN | 5,808,830    | 9/15/98 | Stefansky         |       |          |             |
|  | OOOO | 5,808,866    | 9/15/98 | Porter            |       |          |             |
|  | PPPP | 5,812,373    | 9/22/98 | Hwang             |       |          |             |
|  | QQQQ | 5,943,193    | 8/24/99 | Thayne, et al.    |       |          |             |
|  | RRRR | 5,949,630    | 9/7/99  | Yamamoto, et al.  |       |          |             |
|  | SSSS | 5,999,406    | 12/7/99 | McKain, et al.    |       |          |             |
|  | TTTT | 6,021,029    | 2/1/00  | Mamiya et al.     |       |          |             |

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|--|------|--------------|------|---------|-------|----------|-------------|----|
|  |      |              |      |         |       |          | YES         | NO |
|  | UUUU |              |      |         |       |          |             |    |
|  | VVVV |              |      |         |       |          |             |    |
|  | WWWW |              |      |         |       |          |             |    |

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**DOCUMENT (Including Author, Title, Source, and Pertinent Pages)**

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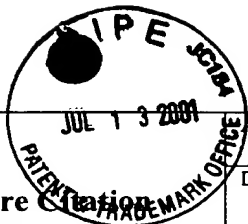
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|          | Docket Number<br>067470.0137 (P0766) | Group Art Unit<br>Unknown          | Filing Date<br>04/20/2001 |

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in an Application**

**U.S. PATENT DOCUMENTS**

|  |       | DOCUMENT NO. | DATE       | NAME                | CLASS | SUBCLASS | FILING DATE |
|--|-------|--------------|------------|---------------------|-------|----------|-------------|
|  | AAAAA | 6,028,744    | 02/22/00   | Amirkiai, et al.    |       |          |             |
|  | BBBBB | 6,082,543    | 7/04/2000  | Béliveau            |       |          |             |
|  | CCCCC | 6,154,360    | 11/28/2000 | Kaczeus, Sr. et al. |       |          |             |
|  | DDDDD | H1245        | 10/5/93    | Griswold, et al.    |       |          |             |
|  | EEEEE |              |            |                     |       |          |             |
|  | FFFFF |              |            |                     |       |          |             |
|  | GGGGG |              |            |                     |       |          |             |
|  | HHHHH |              |            |                     |       |          |             |
|  | IIIII |              |            |                     |       |          |             |
|  | JJJJJ |              |            |                     |       |          |             |
|  | KKKKK |              |            |                     |       |          |             |
|  | LLLLL |              |            |                     |       |          |             |
|  | MMMMM |              |            |                     |       |          |             |
|  | NNNNN |              |            |                     |       |          |             |
|  | OOOOO |              |            |                     |       |          |             |
|  | PPPPP |              |            |                     |       |          |             |

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|  |       |              |      |         |       |          | YES         | NO |
|  | QQQQQ |              |      |         |       |          |             |    |
|  | RRRRR |              |      |         |       |          |             |    |
|  | SSSSS |              |      |         |       |          |             |    |

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